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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/619,912	07/19/2000	Julie H. King	RSW9-2000-0081-US1	1931

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EXAMINER	
VAUGHAN, MICHAEL R	
ART UNIT	**PAPER NUMBER**
2131	3

DATE MAILED: 02/11/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 09/619,912	Applicant(s) KING ET AL.	
	Examiner Michael R Vaughan	Art Unit 2131	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *19 July 2000*.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-20* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-20* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☒ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *19 July 2000* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____.

DETAILED ACTION

1. Claims 1-20 have been examined and are pending.

Specification

2. Applicant is required to update the status (pending, allowed, etc.) of all parent priority applications in the first line of the specification. The status of all citations of US filed applications in the specification should also be updated where appropriate.

Claim Rejections - 35 USC ' 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

3. Claims, 1, 2, 5, 6, 7, 8, 9, 10, 12, 13, 14, 15, 16, 18, 19, and 20 are rejected under 35 U.S.C. 102(e) as being anticipated by Carroll (USP 6,105,131).

As per claims 1, 9, and 15 Carroll teaches:

computer-readable program code means for processing a first sign-on during a secure session using a digital certificate, further comprising (column 8, lines 50-56):

computer-readable program code means for establishing said secure session from a client machine to a server machine using said digital certificate, wherein said digital certificate represents an identity of said client machine or a user thereof (column 8, lines 56-64),

computer-readable program code means for storing said digital certificate or a reference thereto at said server machine (column 9, lines 5-6);

computer-readable program code means for establishing a session from said server machine to a host system using a legacy host communication protocol (column 2, lines 56-61);

computer-readable program code means for passing said stored digital certificate or said reference from said server machine to a host access security system (column 8, lines 38-41);

computer-readable program code means, operable in said host access security system, for authenticating said identity using said passed digital

certificate or a retrieved certificate which is retrieved using said reference (column 9, lines 11-13);

computer-readable program code means for using said passed or retrieved digital certificate to locate access credentials for said user (column 3, lines 15-21);

computer-readable program code means for accessing a stored password or generating a password substitute representing said located credentials (column 3, lines 21-33); and

computer-readable program code means for using said stored password or said generated password substitute to transparently complete said first sign-on to a secure legacy host application executing at said host system (column 3, lines 34 and column 5, lines 50-51); and

computer-readable program code means for processing a second sign-on during said secure session using a second digital certificate for a second identity, wherein said second sign on requests access to said secure legacy host application or a different legacy host application by said user or by a different user, further comprising (column 3, line 33, column 5, lines 55-60, and column 6, lines 17-18):

computer-readable program code means for receiving a second sign-on request using said second digital certificate for said second identity (column 6, lines 26-30);

computer-readable program code means for passing said second digital certificate or a second certificate reference from said server machine to said host access security system (column 8, lines 38-41);

computer-readable program code means, operable in said host access security system, for authenticating said second identity using said passed second digital certificate or a second retrieved certificate which is retrieved using said second certificate reference (column 9, lines 11-13);

computer-readable program code means, operable in said host access security system, for using said passed second digital certificate or said second retrieved certificate to locate second access credentials (column 3, lines 15-21);

computer-readable program code means for accessing a second stored password or generating a second password substitute representing said second credentials (column 3, lines 21-33); and

computer-readable program code means for using said second stored password or said second password substitute to transparently complete said second sign-on to said secure legacy host application executing at said host system or said different legacy host application (column 3, lines 34 and column 5, lines 50-51).

As per claims 2, 10, and 16, Carroll teaches said digital certificate is an X.509 certificate and said digital certificate reference and second certificate reference are references to an X.509 certificate (column 6, line 11).

As per claim 5, Carroll teaches said communication protocol is a Virtual Terminal protocol (column 2, line 50 and column 1, line 55).

As per claims 6, 12, and 18, Carroll teaches the use of a host access security system, which performs the function of a Resource Access Control Facility system (column 2, lines 49-55 and column 3, lines 23-33).

As per claim 7, Carroll teaches said computer-readable program code means for processing said second sign-on further comprises computer-readable program code means for storing said second digital certificate (column 9, lines 5-6).

As per claims 8, 15, and 20, Carroll teaches said computer-readable program code means for processing said first sign-on further comprises:

computer-readable program code means for requesting by said legacy host application, responsive to said computer-readable program code means for establishing said session, first sign-on information for said user (Figure 3a, element 18);

computer-readable program code means for responding to said request for first sign-on information by sending a first sign-on message with placeholders from said client machine to said server machine, said placeholders representing a user identification and a password of said user (column 7, lines 14-17); and

computer-readable program code means for substituting a user identifier associated with said located access credentials and said stored password or said generated password substitute for said placeholders in said first sign-on message (column 3, lines 22-34); and

said computer-readable program code means for processing said second sign-on further comprises (column 6, lines 17-18):

computer-readable program code: means for requesting, by said legacy host application, second sign-on information for said second identity (Figure 3c, element 60);

computer-readable program code means for responding to said request for second sign-on information by sending a second sign-on message with placeholders from said client machine to said server machine, said placeholders representing a different user identification and a different password of said second identity (column 7, lines 14-17); and

computer-readable program code means for substituting said second user identifier associated with said second access credentials and said second stored password or said second password substitute for said placeholders in said second sign-on message (column 3, lines 22-34).

Claim Rejections - 35 USC ' 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

> A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

4. Claims 3, 4, 11, and 17, are rejected under 35 U.S.C. 103(a) as being unpatentable over Carroll in view of Cohen et al (USP 6,178,511).

As per claims 3, 4, 11, and 17, Carroll teaches a secure method of communication that utilizes legacy protocols. Carroll does not explicitly teach the use of 3270 emulation protocol or the 5250 emulation protocol. Cohen et al teach the use of 3270 emulation protocol and the 5250 emulation protocol for a secure method of communication (column 4, line 27). Both the 3270 and 5250 emulation protocol are well

established and known by those of ordinary skill in the art as a means to securely log a user into a system. Carroll's method of communication is centered on security.

In view of this, it would have been obvious to one of ordinary skill in the art at the time the invention was made to employ the teaching of Cohen et al within the system of Carroll because it would allow the system to securely logon a user so that the user could then establish a secure connection with the other entities of the system.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael R Vaughan whose telephone number is 703-305-0354. The examiner can normally be reached on M-F 7:30-4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on 703-305-9648. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

MV
Michael R Vaughan

Examiner

Art Unit 2131

AYAZ SHEIKH
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100